

NAVAL REACTORS DOE ORDER IMPLEMENTATION BULLETIN  
470.4B CHANGE 1 – 112, REVISION 1

Implementation of DOE Order 470.4B Change 1, Safeguards and Security Program

Consistent with the Naval Nuclear Propulsion Program (NNPP) overall concept of operations in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by 50 U.S.C. §§ 2406, 2511), the following provides specific implementation guidance for the Safeguards and Security Program under the Director's cognizance. DOE Order 470.4B Change 1 is implemented subject to the modifications provided below:

1. The DOE Cognizant Security Office (COS) for the Naval Nuclear Propulsion Program is the Naval Reactors Headquarters Security Department.
2. The following responsibilities will be observed for DOE O 470.4B Change 1 within the Naval Nuclear Propulsion Program:

a. Deputy Administrator, Naval Reactors:

- (1) Ensures that an effective S&S Program is established and executed within NA-30 under the authorities granted by relevant Executive orders, the U.S. Department of Energy Organization Act, as amended (42 U.S.C. § 7101-7352), and the Atomic Energy Act of 1954, as amended (42 U.S.C. § 011-2286) and in accordance with the National Nuclear Security Administration Act (P.L. 106-65).
- (2) Designates senior Departmental officials to direct and administer the S&S Program.
- (3) Approves and issues the Design Basis Threat Policy.
- (4) Authorizes NNSA Federal and contractor employees to carry firearms and make arrests without warrants as provided by §161k of the Atomic Energy Act [codified at 42 U.S.C. § 2201 (k)].

b. Deputy Director, Naval Reactors:

- (1) Ensures the S&S Program achieves excellence in performance, has internal compatibility, is graded in application, and integrates corporate programs and support activities with the line programs consistent with the precepts of Integrated Safeguards and Security Management.
- (2) Through the NA-30 Director of Security:
  - (a) Serves as the NA-30 cognizant security authority responsible for the development and implementation of security programs, operations, and facilities under the purview of NA-30, including physical security,

Enclosure (1) to  
Ser 08B/15-03596

personnel security, materials control and accountability, classified and sensitive information protection, and technical security.

- (b) Participates in international discussions regarding safeguards policies and procedures.
  - (c) Reviews and coordinates with HSS the deployment of physical protection technology for the transportation of special nuclear material (SNM).
  - (d) Issues direction for and oversees implementation of security conditions for operations under the cognizance of NA-30.
  - (e) Establishes a system of control measures to ensure that access to classified matter is limited to authorized persons. These control measures must be appropriate to the environment in which the access occurs and the nature of the matter. The system must include technical, physical, and personnel control measures.
  - (f) Establishes procedures for reporting incidents of security concern and provides resources for conducting inquiries and damage assessments and for implementing corrective actions.
  - (g) Directs the implementation of NA-30 Security programs in accordance with the requirements of this Implementation Bulletin and associated programmatic Manuals, including development of procedures and guidance.
  - (h) Provides NA-30 counterintelligence liaison.
- (3) Through the Senior Technical Representative for Foreign and Public Affairs:
- (a) Coordinates with Departmental elements and HSS to ensure NA-30 compliance with the terms of the Agreement between the United States of America and the International Atomic Energy Agency for the Application of Safeguards in the United States of America and its Additional Protocol.
  - (b) Acts as the NA-30 representative for international S&S policy development, including development of guidelines and technical documents and providing technical assistance.
  - (c) Coordinates with DOE and when applicable, the NNSA Office of Congressional, Intergovernmental and Public Affairs on the press releases involving NA-30 S&S matters.
- c. Director of Security:
- (1) Administers and oversees the NA-30 cyber security and TEMPEST programs, and approves access to CRYPTO and communications security (COMSEC).

Enclosure (1)



- (2) Ensures that classified and unclassified controlled information being processed, stored, or transmitted in automated information systems is protected in accordance with information security policies.
- (3) Develops and implements the NA-30's S&S program consistent with strategies and policies governing the protection of national security and other critical assets entrusted to NA-30.
- (4) Coordinates and promulgates the NA-30's policies and procedures for a comprehensive S&S program.
- (5) Directs the development and implementation of a security program for the protection of NA-30.
- (6) Establishes and maintains the NA-30 Classification Program and ensures consistency between classification and S&S policies.
- (7) Provides advice and assistance to NA-30 organizations concerning S&S programs.
- (8) Serves as the principal advisor to Deputy Administrator, Naval Reactors, on S&S matters.
- (9) Establishes and coordinates the S&S technology program to support user needs and policy objectives.
- (10) Formulates and promulgates NA-30's S&S policy.
- (11) Acts as senior Program official responsible for directing and administering NA-30's information security program [E.O. 13526, section 5.4(d)].
- (12) Acts as the senior Program official responsible for directing and administering NA-30's personnel security program [E.O. 12968, section 6.1(a)].
- (13) Acts as the senior Program official responsible for directing and administering NA-30's implementation of the National Industrial Security Program [EQ. 12829, section 203(a)].
- (14) Maintains national-level liaison with Federal law enforcement, security, and intelligence agencies in support of the NA-30 S&S Program and represents NA-30 in interagency efforts related to S&S activities.
- (15) Develops the Design Basis Threat Policy for NA-30 activities.
- (16) Develops and issues the NA-30 Adversary Capabilities List.
- (17) Serves as the certification authority for NA-30 vulnerability assessment analysts.

Enclosure (1)

- (18) Develops NA-30 S&S training programs and provides S&S training to NA-30 personnel.
- (19) Serves as NA-30 cognizant security authority for NA-30 facilities. NOTE: This authority may be delegated as necessary.
- (20) Oversees implementation of the NA-30 S&S Program.
- (21) Develops and allocates NA-30 S&S budgets for assigned programs and the infrastructure that supports NA-30 S&S missions.
- (22) Conducts independent inspections and evaluations to assess the effectiveness of NA-30 S&S Program implementation.
- (23) Evaluates the security postures of NA-30 elements and contractor-operated facilities for compliance with appropriate policies and directives.

3. Within the Naval Nuclear Propulsion Program, the counterintelligence mission is assigned to the Naval Criminal Investigative Service (NCIS). Any threat identified during the FOCI review process or otherwise will be brought to the attention of NCIS. Cognizant Program security offices (both contractor and government) will ensure all travelers are informed of this requirement as part of their annual security briefing. NCIS, when available, will conduct briefings and debriefings when travel involves official foreign travel or personal travel to sensitive countries. (Appendix B Section 2 Chapter II.3.b)

4. For contractors with a Department of Defense (DOD) facility clearance, the Program may accept the DOD granted final personnel clearances and the DOD foreign ownership, control, or influence (FOCI) determination for access to Naval Nuclear Propulsion Program Information up to and including CONFIDENTIAL RESTRICTED DATA for DOE contracts. The limitations of a DOD FOCI which utilizes a Special Security Agreement will be followed when utilizing a DOD cleared facility. The DD 254 should invoke the security requirements of the National Industrial Security Program Operating Manual and the security guidance section should require a Certificate of Nonpossession upon completion of work.

5. When the degree of FOCI exceeds thresholds established by DOE, NR Headquarters will make the programmatic determination on the use of that contractor. (Appendix B Section 2 Chapter II.3.a.2)

6. All documentation related to DOE O 470.4B Change 1 will be kept in accordance with the Naval Nuclear Propulsion Program's Records Management File plan in lieu of DOE Administrative Records Schedule 18.

7. Requests for waivers and exceptions to specific requirements of DOE Order 470.4B Change 1 or this IB will be submitted to NR Headquarters for review and approval.

Enclosure (1)

8. Oversight and evaluation of Safeguards and Security Program matters under the Director's cognizance will be conducted by the Director of Security or as delegated by the Director of Security.

Enclosure (1)